

FOREWORD

This manual provides an overview of Sections 404 and 401 of the Clean Water Act, as they apply to Arizona Department of Transportation (ADOT) activities.

Compliance with Sections 404 and 401 is required for ADOT activities that involve the discharge of dredged or fill material into waters of the US.

The manual also provides general guidance on the preparation of jurisdictional delineations, Nationwide Permit preconstruction notification submittals, and Individual Permit applications. The intended audience includes all ADOT personnel (staff and consultants).

Applicable regulations, guidance documents, and forms are cited and/or included in the manual, with document dates, print dates, and sources identified in the References section as appropriate. Although the manual will be periodically updated by the ADOT Environmental Planning Group to address regulatory and guidance modifications, as well as changes in ADOT policy, it is the responsibility of the reader to identify and comply with current standards.

TABLE OF CONTENTS

INTRODUCTION	Page 1
A. Overview of Clean Water Act Sections 404 and 401	Page 1
B. Quick Facts	Page 2
C. EPG Section 404/401 Flow Charts (EPG 2004a)	Page 4
D. Manual Content, Format, and Update Process	Page 4
 STEP 1: ARE WATERS OF THE US PRESENT WITHIN THE BOUNDARIES OF THE ACTIVITY?	 Step 1-1
A. Definitions and Examples	Step 1-1
B. Jurisdictional Delineation	Step 1-1
 ATTACHMENT 1-1:	
33 CFR 328—Definition of Waters of United States	Attachment 1-1
 ATTACHMENT 1-2:	
Required Submittal Items for Jurisdictional Delineations	Attachment 1-2
 ATTACHMENT 1-3:	
Corps Label for Jurisdictional Delineations.....	Attachment 1-3
 ATTACHMENT 1-4:	
Tables of Wash Summary and JD Physical Characteristics	Attachment 1-4
 ATTACHMENT 1-5:	
Approved Jurisdictional Delineation Form	Attachment 1-5
 STEP 2: WILL THE ACTIVITY INVOLVE THE DISCHARGE OF DREDGED OR FILL MATERIAL INTO WATERS OF THE US? ...	 Step 2-1
A. Definitions and Examples	Step 2-1
B. Regulated ADOT Activities	Step 2-1
 ATTACHMENT 2-1:	
Part 323—Permits for Discharges of Dredged or Fill Material into Waters of the United States	Attachment 2-1
 STEP 3: WHAT TYPE AND QUANTITY OF IMPACTS ON WATERS OF THE US WILL RESULT FROM THE ACTIVITY AND WILL THE IMPACTS BE MITIGATED?	 Step 3-1

A. Definitions and Examples	Step 3-1
B. Methodology	Step 3-2
Figure 1: Example of Temporary and Permanent Impact Area Calculations	Step 3-3
C. Mitigation	Step 3-2
 STEP 4: WHAT TYPE OF SECTION 404 PERMIT IS REQUIRED FOR THE ACTIVITY?	
A. Nationwide Permits	Step 4-1
B. Individual Permits	Step 4-5
 ATTACHMENT 4-1:	
Summary of 2007 Nationwide Permits	Attachment 4-1
 ATTACHMENT 4-2:	
Environmental Planning Checklist for 404 Permit Applications / EPG Nationwide - Individual Permit Application Review	Attachment 4-2
 ATTACHMENT 4-3:	
Application for Department of the Army Permit	Attachment 4-3
 STEP 5: WHAT TYPE OF SECTION 401 CERTIFICATION IS REQUIRED FOR THE ACTIVITY?	
A. Definitions.....	Step 5-1
B. Certification for Activities that Qualify for a Nationwide Permit.....	Step 5-1
C. Certification for Activities that Require an Individual Permit	Step 5-3
D. Components of an Individual Certification Application.....	Step 5-3
 ATTACHMENT 5-1:	
33 U.S. Code 1341 – Certification	Attachment 5-1
 ATTACHMENT 5-2:	
AAC Article 1, Section R18-11-112 – Unique Waters	Attachment 5-2
 ATTACHMENT 5-3:	
Required Components of an Individual Certification Application to the EPA.....	Attachment 5-3
 ATTACHMENT 5-4:	
ADEQ Application for Section 401 Certification.....	Attachment 5-4
 ATTACHMENT 5-5:	
ADEQ/WQD Form 404-003—Applicant's Response to the Arizona Department of Environmental Quality Policy for Protecting Water Quality During Facility Construction	Attachment 5-5

ACRONYMS	Acronyms
GLOSSARY	Glossary
APPENDIX 1: Guidelines for Jurisdictional Determinations For Waters of the United States in the Arid Southwest, Final Summary Report:	Appendix 1
APPENDIX 2: Guidance on Compensatory Mitigation Projects for Aquatic Resource Impacts	Appendix 2
APPENDIX 3: Guidance for the Establishment, Use and Operation of Mitigation Banks.....	Appendix 3
APPENDIX 4 Guidance on the Use of In-Lieu-Fee Arrangements for Compensatory Mitigation.....	Appendix 4
APPENDIX 5: Section 401 Conditions Modified for ADOT Activities	Appendix 5
APPENDIX 6: Special Public Notice-Nationwide Permits for Arizona	Appendix 6
APPENDIX 7 Nationwide Permit 23, Approved Categorical Exclusions	Appendix 7
APPENDIX 8: Nationwide Permit 23, Approved Categorical Exclusions – Regulatory Guidance Letter	Appendix 8
APPENDIX 9: Operating Agreement – Integration Process Relative to the National Environmental Policy Act and Section 404	Appendix 9
APPENDIX 10: Section 404(b)(1) Guidelines for Specification of Disposal Sites for Dredged or Fill Material	Appendix 10
APPENDIX 11: Corps 404(b)(1) Template	Appendix 11